Source Of Repair Assignment Process (SORAP) & Workload Certification

For more details on SORAP & Workload Certification & for document downloads refer to SMC/AXL WEB Site: http://ax.losangeles.af

SMC DEPOT MAINTENANCE APPROVAL PROCES

Table of Contents

Source Of Repair Assignment Process (SORAP) & Depot Workload Certification Flow Charts

Introduction

SORAP..... 3

Workload Certification Process..... 4

Depot Maintenance Approval Flow Chart 5

Depot Level Repair Approval - Decision Process..... 6

SORAP Flow Chart 7

SORAP - Initiation (Acquisition Phase A)..... 8

SORAP - Development (Acquisition Phase A)..... 9

SORAP - Analysis (Acquisition Phase B)..... 11

SORAP - Approval (Acquisition Phase B)..... 12

Depot Workload Certification Flow Chart 14

Workload Certification - Decision Process..... 21

Workload Certification - Approval

Note: Click on buttons → to see footnotes

SORAP - Introduction

1. DoD policy mandates that all systems which require depot level maintenance accomplish a depot source of repair (DSOR) decision process to include Title 10 assessments, and that the ultimate DSOR decision is "approved" by the appropriate service OPR. The Air Force utilizes the Source of Repair Assignment Process (SORAP) to fulfill this DoD mandate. All Air Force systems that require depot level hardware and/or software maintenance must have an approved SORAP. There are no waivers to the SORAP and the SORAP package must be reviewed and signed by the Center Commander prior to submission to HQ AFMC/LG.

2. Determining an Air Force DSOR is actually accomplished through two separate processes: the Air Force SORAP (OPR: HQ AFMC/LG) and DoD's Depot Maintenance Interservicing (DMI) Study (OPR: Joint Depot Maintence Activities Group; JDMAG). It is important to keep this fact in mind when accomplishing the SORAP and seeking SOR approval from the ASP (SOR decision = SORAP + DMI Study). SMC SORAP packages submitted to HQ AFMC for review and concurrence will also include the Joint Logistics Commanders (JLC) forms required to initiate the DMI Study by the JDMAG. The ASP must consider the results of both the SORAP (SPD Recommendation, Candidate Depot(s) concurrence/non-concurrence and HQ AFMC/LG concurrence/non-concurrence) and the DMI Study results (Does a similar DoD depot capability already exist) before approving the DSOR.

3. The "SMC Depot Maintenance Approval Process" flow diagrams lay out the SMC SORAP process in relation to the acquisition phases described in National Security Space Acquisition Policy 03-01 (NSS 03-01) and highlights the main points of SMCI 20-2 "*Source Of Repair Assignment Process and Workload Certification Process*". Some programs will not be involved in an acquisition but will still need to accomplish a SORAP (Modification, Workload Shift, etc…). The approval flow will basically be the same for non-acquisition situations and the bottom line still remains: (1) Start your SORAP <u>early</u> and (2) Receive final SORAP approval <u>prior</u> to entering into any long term contracts or warranties for depot level repair or before initiating a modification or workload shift.

4. The amount of time it takes to complete the SORAP is almost completely on the shoulders of the SPO. If the SPO starts the SORAP late and doesn't communicate directly with the candidate depot(s) early on, final SORAP approval may come late in the acquisition.

Workload Certification Process - Introduction

1. A Workload Certification is required before using ICS for depot maintenance and when a change in the budgeted amount of depot workload (as reported in 50/50 Data Call) in the current year will increase or decrease by $100K or more. SMC/LG signs all Workload Certifications.

2. Congress, DoD and senior Air Force leadership are requiring tighter management of Title 10 USC 2466 ("50/50") compliance. The SECAF can no longer grant "50/50" waivers, so an end of year discovery that the Air Force is above the mandated contract ceiling is not an option. HQ AFMC's position is that every year those $100K+ changes in a program's budgeted depot workload add up. At the micro level $100K seems low but HQ AFMC contends that at the macro level it all adds up to Air Force compliance difficulties. How this Certification data will be used to effect compliance is an issue for HQ AFMC. We have just been asked to identify changes as soon they become known.

3. A Workload Certification is required if there is a current year change of $100K or more from the budgeted dollar amount of depot workload (identified by EEIC - Element of Expense Investment Code) reported in the yearly Title 10 USC 2466 Data Collection. A copy of the current SMC SPO inputs to the 50/50 Data Call should be kept in both the Logistics and FM functions within the SPO. It is the responsibility of the Logistics Manager to ensure a Workload Certification is completed as soon as it becomes known that the budget will increase or decrease annually by $100K or more from the amount reported in the most current SMC "50/50" report and before using ICS for depot maintenance.

4. Below is a Workload Certification "Include/Exclude" list. The Include column is a list of activities considered by the Title 10 USC 2460 definition to be depot maintenance. The items on the exclude list are a sample of activities that could be accomplished by a depot organic or contract but are not considered depot maintenance by the Title 10 definition. The activities found on the include list will require a Workload Certification if there is a current year increase or decrease of $100K or more to the budgeted amount reported in the yearly 50/50 Data Call. The main reason for this list is to show clients, for example, not every Engineering Change Proposal (ECP) will r

INCLUDE

- Analytical Condition Inspection (ACI)
- Contract Depot Field Teams
- Decommissioning/Demilitarization
- Depot Materiel (consumable and recoverable)
- Extended/Negotiated Warranty
- Hour (age)-based support ("Power by the Hour")
- Logistics/Program Support
- Maintenance (Shop Floor)
- Over & Above Depot Maintenance
- Programmed Depot Maintenance
- Repair/Overhaul
- Recoverable Items

EXCLUDE

- Advisory and Assistance Services (A&AS)
- Contract Operated & Maintained Base Supply
- Engineering Support/Services
- Field Service Teams (Org & Inter Maint)
- Mod Kit/Kit Procurement
- Spares Procurement
- Sustaining Engineering
- Tech Data Maintenance

For descriptions & Workload Certification Form go to:

http://ax.losangeles.af.mil/axl/workloadcertification.html

Depot Level Repair Approval - Decision Process

Does your System/Subsystem require Hardware, Software and/or Crypto Depot Level Maintenance?

Yes

Does your Program Require...

- Interim Contract Support (ICS)

O

F

- Change in Budgeted Dollar Amount of Workload on Existing Contract (Reported in Annual "50/50" Report)

Yes

Workload Certification Required

Go to "Workload Certification" Chart 1

No

No SORAP Required

No

Is your Depot Level Workload a...

- Modification
- New Acquisition / New Start
- Fielded System without Approved SORAP
- Workload Shift
- Overseas Workload

Yes

SORAP Required

Note: Click on buttons → to see Footnotes

SORAP - Approval (NSS 03-01 Acquisition Phase A)

Note: Click on buttons → [#] to see Footnotes

Joint Program Title 10 Assessments completed by each service

SPO requests Candidate Depot assignment(s) and Core Assessment from HQ AFMC/LG

HQ AFMC/LG provides Title 10 USC 2464 Assessment & Candidate Depot(s) [1]

(HQ AFMC Process Time: 10 - 20 Days)

ILS Manager contacts Candidate Depot(s) and prepares system briefing

Initial meeting with depot(s) should include all ILSWG team members. Purpose of meeting: (1) Brief system and ensure depot(s) understand repair requirements (2) Validate correct Candidate assignments for [2]

Is the Candidate Depot "interested" in your Hardware/Software/Crypto depot repair workload or Modification Installation? [3]

Yes

No

No SORAP CBA required: Complete SORAP package and include memo from Candidate Depot(s) stating their concurrence with contract depot repair [4]

Go to "SORAP Approval" Chart 9

SORAP - Approval (NSS 03-01 Acquisition Phase A)

Note: Click on buttons [#] → to see Footnotes

Partnering Strategy developed with stakeholders and Candidate Depot(s) [5]

↓

Acquisition Plan & PSMP must be updated with depot Partnering Strategy

↓

SPO programs for funding & briefs SORAP schedule and progress at each ASP

↓

RFP Development: Include RFP inputs to ensure (1) Partnering Proposal is bid and (2) priced option(s) for access to depot level data [6]

↓

Partnering Strategy prior to Acq Phase B RFP release [7]

↓

SORAP - Approval (NSS 03-01 Acquisition Phase B)

Note: Click on buttons → [#] to see Footnotes

Source Selection

Did the winning contractor bid a Partnering Strategy?

No

SPO requests 50/50 Assessment from AFMC & provides required system data to Candidate Depot(s) [8]

HQ AFMC/LG provides Title 10 2466 Assessment (HQ AFMC Process Time: 15 - 30 Days)

ILSWG receives SORAP proposal briefing from Candidate Depot(s)

CBA is completed and all data is analyzed by ILSWG to determine the best SOR recommendation [9]

ILS Manager prepares SORAP Package for Coordination/Approval

Yes

SPO establishes Partnering IPT: Develop Partnering Agreement & SPO requests 50/50 Assessment

HQ AFMC/LG provides Title 10 2466 Assessment (HQ AFMC Process Time: 15 - 30 Days)

ILS Manager prepares Partnering SORAP Package to include Partnering Strategy

SORAP - Approval (NSS 03-01 Acquisition Phase B)

Note: Click on buttons → to see Footnotes

Coordinate SORAP with stakeholders - SMC/AXL ensures SORAP Package is ready for SMC/CC – SPD signs 10

Candidate Depot(s) concurs or non-concurs with SORAP recommendation

SPD reviews Depot's Response 11

SMC/CC reviews & signs SORAP 12

HQ AFMC/LG reviews & signs SORAP and forwards JLC Forms to JDMAG (HQ AFMC Process Time: 15 - 30 Days)

JDMAG completes DMI Study and forwards results to HQ AFMC/LG (JDMAG/MAU Process Time: 60 - 120 Days)

SPO receives SORAP & DMI results

ASP Chairman reviews all SORAP concurrence / non-concurrence and DMI results before giving final SOR Approval 13

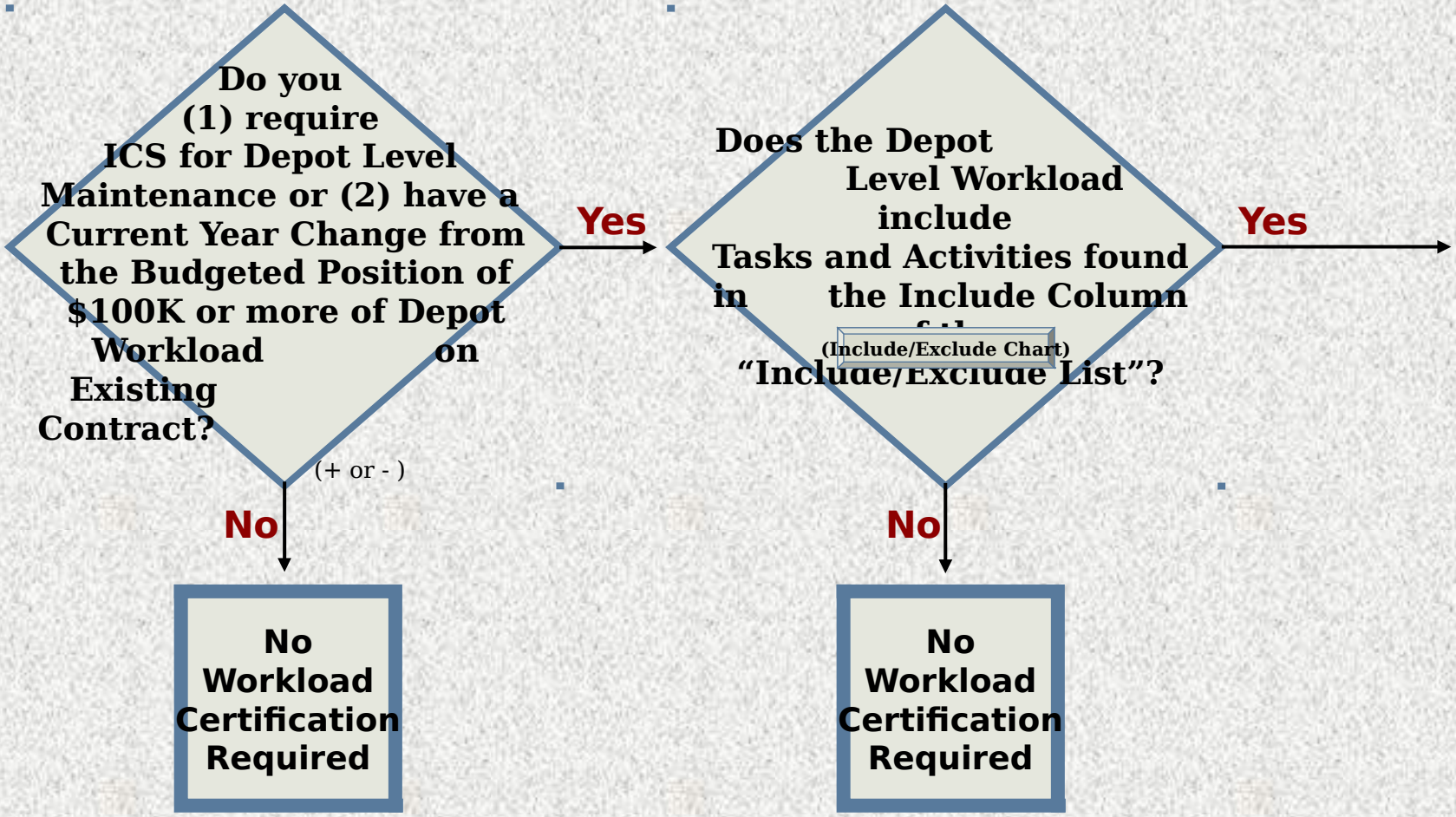
SORAP Approval Prior to KDP C

Document all SOR results in Acquisition Plan (SASS, SAMP, etc) and Log Plans (RSMP, LCMP, etc)

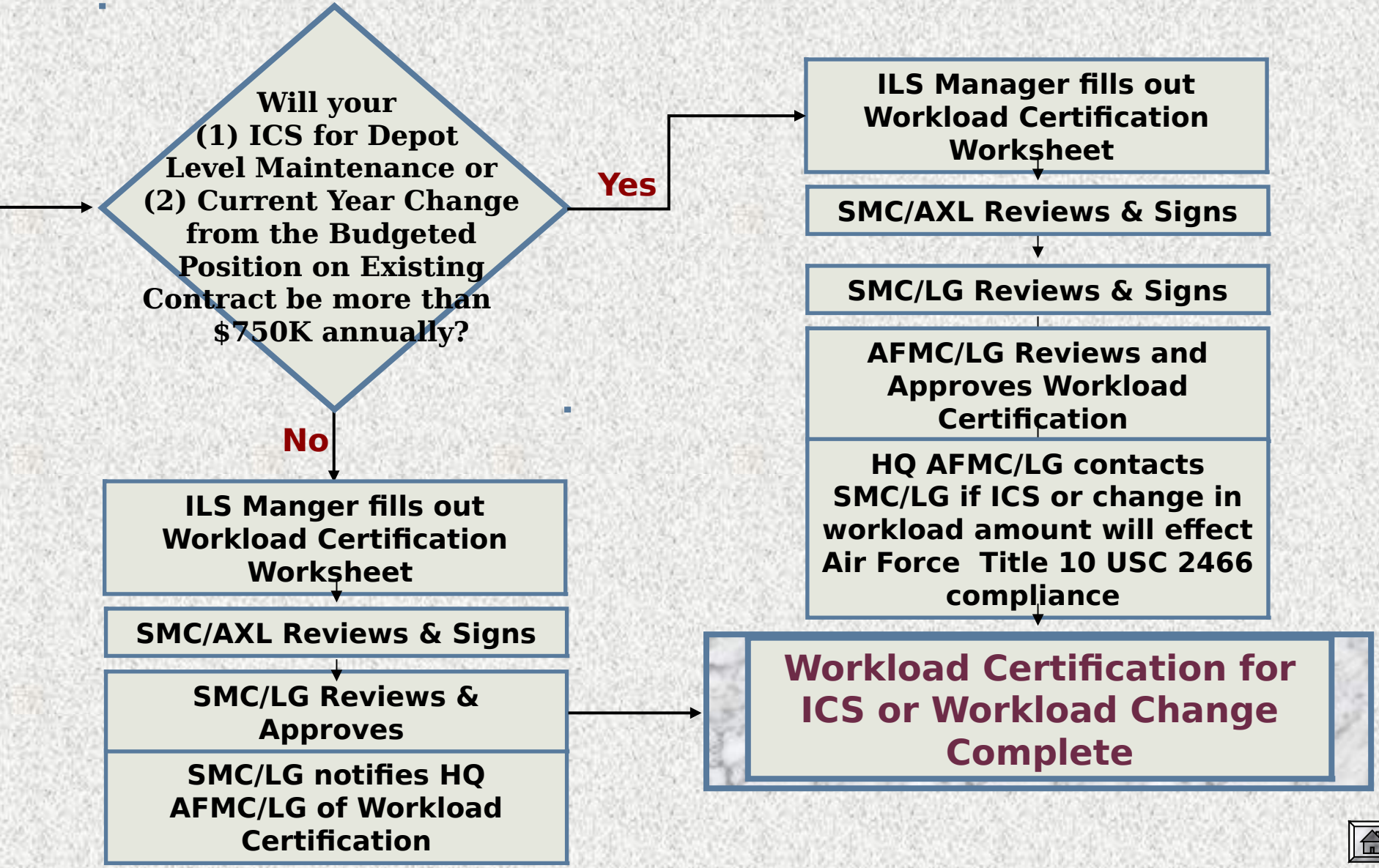
Ensure a copy of the SORAP Package along with all documentation is archived within the SPO

Workload Certification

Workload Certification – Decision Process


Do you (1) require ICS for Depot Level Maintenance or (2) have a Current Year Change from the Budgeted Position of $100K or more of Depot Workload on Existing Contract?
(+ or -)
Yes
No
No Workload Certification Required
Does the Depot Level Workload include Tasks and Activities found in the Include Column of the (Include/Exclude Chart) "Include/Exclude List"?
Yes
No
No Workload Certification Required

Workload Certification – Review Process


Will your (1) ICS for Depot Level Maintenance or (2) Current Year Change from the Budgeted Position on Existing Contract be more than $750K annually?
Yes
No
ILS Manager fills out Workload Certification Worksheet
SMC/AXL Reviews & Signs
SMC/LG Reviews & Signs
AFMC/LG Reviews and Approves Workload Certification
HQ AFMC/LG contacts SMC/LG if ICS or change in workload amount will effect Air Force Title 10 USC 2466 compliance
ILS Manger fills out Workload Certification Worksheet
SMC/AXL Reviews & Signs
SMC/LG Reviews & Approves
SMC/LG notifies HQ AFMC/LG of Workload Certification
Workload Certification for ICS or Workload Change Complete

Additional Information

SORAP Flow Diagram - Footnotes

[1] These flow charts are based on the assumption of a Non-Core Workload. There are very few "Space" workloads that have been deemed a Core Depot Workload. Core hardware and/or software workloads MUST be accomplished organically while the Non-Core portion(s) of the system workload may be accomplished by the contractor via a partnering arrangement. Note: The Core Assessment memo from HQ AFMC may state (as an example): *The answer to the SORAP Decision Criteria Question, "Is the workload a candidate to satisfy a core capability?" is Yes. OO-ALC needs the workload to retain its core capability.* This means the subject workload (Hardware and/or Software) is a candidate to fulfill a "Core" need. The final core determination will be made by HQ AFMC after all the data is available via the SORAP package. The SORAP analysis may show that the subject workload is not a good candidate (cost, amount of workload, etc…) to fulfill the hours needed to support a core organic capability.

If the workload is declared core after HQ AFMC's SORAP review, it would really only have a major effect on a system where the SORAP recommendation is for all CLS (no organic or partnering). In this case, the SPO would be notified to re-submit the SORAP package with the core workload accomplished by the candidate organic depot. Depot Workloads that are designated Core must establish an organic repair capability no later than 4 years after IOC is declared. Programs that (1) initiate their SORAP in Phase A of the acquisition and complete the SORAP early in Phase B and (2) have a SORAP that recommends a partnership and where (priced) data access rights were secured (prior to contract award) should have little problem if the workload is ultimately deemed Core.

[2] For Joint Service programs where the Air Force is the lead service for the acquisition, a core assessment is required from all services covered in the acquisition. The lead service is responsible for ensuring all services' core needs are met in the final SOR decision. For joint service programs when the AF is not the acquisition lead, a Core assessment and approved SORAP is still required.

Initially, the depot SOR stakeholders (which should all be members of the ILSWG) include Service and/or Command User Representatives, SMC SPO Acquisition & Sustainment Logisticians, Service logistics counterparts for Joint Programs, and the Candidate Depot(s). After source selection the stakeholders would also include the winning Contractor(s). The initial briefing to the Candidate Depot(s) should take place immediately after AFMC assignment and should include: (a) System Overview, (b) Program & Logistics

Note: Click on footnote buttons → to return to flow chart

SORAP Flow Diagram - Footnotes

AFMC Candidate Depot assignments are appropriate for the designated workloads (hardware, software, crypto and/or modification install) after this initial meeting with the Candidate Depots. If there are questions concerning the candidate assignment, contact SMC/AXL before contacting HQ AFMC. The initial Air Force Candidate Depot assignments are made from the Air Force Technology Repair Center (TRC) list, which includes OO-ALC, WR-ALC, Tobyhanna Army Depot and Cryptologic Systems Group (CPSG). It is important to recognize the fact that the SORAP is a process and this process and its participants MUST be part of the ILSWG. A SORAP cannot be accomplished efficiently and in a timely manner without incorporating the depot(s) early and often in the maintenance planning activities. Just sending some memos and making a few telephone calls will get you nowhere. You must proactively engage in managing the SORAP.

3

This step is important to note, especially for programs that need to accomplish a “small” scale, time critical Modification. By meeting with the candidate depot (even via a teleconference), there could be quick resolution on the Modification SORAP. If the depot(s) agree with the SPO’s rationale there will be no need to accomplish a CBA and the SORAP can be completed quickly.

There are various reasons that a Government Depot may not be able or want to be the SOR for your system’s hardware, software, crypto or accomplish your Modification Installation. It is up to the Candidate Depot to make the initial determination if a workload can be accomplished organically. The SPO will not pre-determine a depot SOR or give the perception that one has already been made (this includes SOR decisions for COTS and NDI workloads). The Government Depot(s) will determine if it makes sense to complete a cost proposal on the hardware/software/crypto depot workload or Modification Installation after the initial briefing/discussion mentioned in footnote 2. It is up to the SPO to determine if the government candidate depot can accomplish the workload cost effectively while meeting the users needs after the government depot has made their evaluation of the system and has presented their proposal to the SPO. SOR decisions based on the SPO’s perception or on what may have been true at one time will not provide the user with a fair look at all viable sustainment options.

For COTS items and NDI, the SM shall also provide a written statement signed by the Procuring Contracting Officer (PCO) and the local Judge Advocate (JAG) office representative, stating the item meets the

Note: Click on footnote buttons → to return to flow chart

SORAP Flow Diagram - Footnotes

submissions: (1) a SORAP for determining and receiving approval for who will accomplish the Modification Installation and (2) a SORAP for determining and receiving approval for who will accomplish the depot repair of the "new" item(s) used in the Modification (if applicable). SORAP would be required for the "new" system(s)/subsystem(s) being installed to modify the current Air Force system. No SORAP is required when the modification is to be accomplished in conjunction with scheduled depot maintenance (e.g. PDM - Programmed Depot Maintenance) at the approved SOR (assuming an original SORAP was accomplished and approved!). A SORAP is also not required for modifications that do not change the form, fit, or function of the component modified, and do not change the part number, only the version (dash number change), as long as the SOR of the end-item does not change.

4

If the Government Depot(s) determines that your repair workload or Modification should not be accomplished organically or via a partnering arrangement after the initial briefing discussed in footnote 2, a SORAP CBA is not required. The "abbreviated" SORAP package will include a memo from Candidate Depot(s), stating their rationale for concurrence with a contract (or other) depot repair strategy.

5

DoD and Air Force direction is for SPOs to aggressively pursue partnering between government organic depots and contractors. Partnering must be a major focus area in product support planning. All new SMC systems that are establishing their depot concept, as well as fielded SMC systems changing their depot support, must proactively consider a partnering strategy. If a Partnering Strategy is not utilized, the rationale for this decision will be addressed in the SORAP, Acquisition Plan (SASS, SAMP,…) and Logistics

6

an (PSMP, LCMP,…). See http://ax.losangeles.af.mil/axl/partnering.html for the latest information on Partnering.

Arguably the single most important step in the entire SORAP will be ensuring pre-priced access to the appropriate level of repair data required to support organic depot activation. With this access you are providing the greatest flexibility when it comes to sustainment strategies by basically allowing all viable depot maintenance options to be supported for the life of the system. To ensure that this "access" to data is

Note: Click on footnote bu□ons → to return to flow chart

SORAP Flow Diagram - Footnotes

7 Contractors planning to participate in the acquisition must understand Partnering and the SORAP so that they can address it in their proposals. One way to accomplish this is to set up a meeting prior to RFP release to brief the contractors and answer their questions. The Candidate Depot(s) should be present to give the Partnering briefing and answer questions.

8

If Depot Partnering is not an option, then a full SORAP with CBA must be accomplished. If the depot workload is not a candidate for Core or ultimately deemed Core, then it is all about best value to the Air Force (which of course is more than the "lowest cost"). CBA inputs will include Contractor provided and Government Depot provided cost inputs. Organic and Contractor depot labor rates and cost data should be considered competition sensitive.

9

Service and/or Command User Representatives, SMC SPO Acquisition & Sustainment Logisticians (Service counterparts for Joint Programs) and key ILS IPT team members should convene to review all SORAP data before coming to a consensus on the depot SOR recommendation for the SORAP.

For Joint Service Programs where the Air Force is the lead service for acquisition, the SORAP should take into consideration the requirements and recommendations from each service, especially the service who is the major stake holder (e.g. In the case of a particular SMC Joint Program the Army is purchasing 68% of the assets which equates to about 100,000 units while the lead service, the Air Force, is purchasing 6% or 9,000 units, with the rest going to the Navy/Marines).

Even though the SORAP is an Air Force process it is perfectly acceptable for another service to use the SORAP analysis and data to determine their own depot posture and Title 10 compliance as long as: (1) they understand the Air Force does <u>not</u> assess other service's Title 10 requirements and (2) the appropriate service authority (equivalent HQ AFMC) is assessing Title 10 compliance. As the lead acquisition service, the Air Force is responsible to ensure all parties' requirements are taken into consideration with regards to the SORAP recommendation and that all services provide documentation that the recommendation will not effect their Title 10 compliance (Title 10 2464, 2466, 2469, etc… as applicable). Even though service requirements and recommendations become a part of the overall rationale for the SORAP recommendation,

Note: Click on footnote buttons → to return to flow chart

SORAP Flow Diagram - Footnotes

10 In the near future, SMC/AXL will become “officially” part of the new SMC/LG organization. At that time, AXL will be given a new 3-letter designation: SMC/LGA. This will not change AXL’s function in relation to the SORAP & Workload Certification Process as outlined in SMCI 20-2 and these flow charts. When the change from AXL to LGA officially occurs, the flow charts will be updated. The diagram below shows who coordinates and/or signs the SORAP & Staff Summary Sheet (SSS).

	Coordinator / Signatory	Staff Summary Sheet	SORAP Package
1	IPT Manager	Sign	---
2	Chief of Logistics	Coordinate	---
3	SMC/GFM	Coordinate	---
4	Program Manager	Coordinate	---
5	SMC/AXL	Coordinate	---
6	SPD	---	Sign
7	Candidate Depot(s)	---	Sign
8	SPD	Coordinate	---
9	SMC/LG	Coordinate	---
10	SMC/DSI	Process	---
11	SMC/DS	Coordinate	---
12	SMC/C	Coordinate	---
13	SMC/CC or SMC/CV	Coordination	Sign
14	HQ AFMC/LG	Complete	Sign
15	ASP or SMC/CC		SOR Approval Signature

Note: Click on footnote buttons → to return to flow chart

SORAP Flow Diagram - Footnotes

11 If the candidate depot(s) non-concurs with the SORAP recommendation, an attempt to resolve any disconnects should be made. If the candidate depot(s) still non-concurs, SMC/LG will give an "independent" review of the SORAP to validate the strength of the SPO's SORAP recommendation prior to SMC/CC review. We must ensure an attempt to resolve differences with the candidate depot(s) has been made before bringing a non-concurrence to SMC/CC and to HQ AFMC/LG.

12

SMC/CC reviews will primarily focus on SORAP packages that: **(1) Recommend a contract depot source of repair and (2) Have non-concurrence from the candidate depot(s).** The rationale and cost benefit analysis that lead to a contract support solution over a public/private partnering arrangement or an organic source of repair will be the focus of attention. SORAP packages that receive a non-concurrence from the candidate depot(s) will be reviewed by SMC/LG prior to SMC/CC review. SMC/CC may delegate SORAP review and signature to SMC/CV.

13

There is a significant distinction between the SORAP package approval and the ultimate SOR decision approval which must take into consideration: (1) SORAP concurrences / non-concurrences (i.e. ALC and HQ AFMC), (2) the JDMAG DMI Study results, (3) SPD's SORAP recommendation and (4) service concurrence for Joint Programs.

The DMI Study should be considered a major step in the SOR process. No funds shall be committed to facilitate a specific site for depot maintenance prior to the DMI Study. If the SORAP and/or DMI Study results have not been approved before KDP-C, the PM shall provide SMC/CC with: (a) justification for the delay in SORAP / DMI results, (b) potential impact to sustainment and (c) estimated approval dates - before briefing the ASP for Phase C approval. HQ AFMC's SORAP concurrence or non-concurrence and DMI Study results will be presented to SMC/CC for final approval of SORAPs not associated with an active acquisition.

It should be noted that SMC/PK will be including SORAP approval and Workload Certification for ICS on their pre-contract "checklist" to ensure program compliance with Air Force policy.

SORAP approvals are for the life of the system/subsystem, unless one of the four situations that initiate a SORAP occurs: (1) New Start/New Workload/New System/Subsystem...etc. (2) Modification Installation (3)

Note: Click on footnote box → to return to flow chart

SMC Acquisition Strategy Panel (ASP)

SMC DEPOT MAINTENANCE APPROVAL PROCES

Source Of Repair Assignment Process (SORAP) Mandatory AS

All SMC acquired systems that require hardware, software and/or cryptologic depot level maintenance and repair will have an approved SORAP. This applies to both new and fielded systems. The SORAP is designed to help ensure compliance with public law, Title 10 USC 2460 (Depot Maintenance), Title 10 USC 2464 (Core), Title 10 USC 2466 (50/50), Title 10 USC 2469 (Workload Shift ≥ $3M) and Title 10 USC 2474 (Partnering), as well as achieving a best value depot maintenance repair concept. The SORAP is a required discussion item at all SMC Acquisition Strategy Panel (ASP) meetings. The following SORAP items must be accomplished prior to each KDP and briefed to the ASP. Further information on the SORAP can be found at:
http://ax.losangeles.af.mil/axl/depot.htm

KDP- A	**SORAP actions to be accomplished prior to KDP-A and briefed to the ASP** - NONE
KDP- B	**SORAP actions to be accomplished in Phase A prior to KDP-B and briefed to the ASP** (1) HQ AFMC assignment of the Candidate Organic Depot(s) (2) HQ AFMC Core Assessment results (Title 10 Assessments required from each service for Joint Programs) (3) Initial Depot Partnering Strategy
KDP- C	(4) Acquisition Strategy to ensure priced long term access to depot level repair data **SORAP actions to be accomplished in Phase B prior to KDP-C and briefed to the ASP** (1) HQ AFMC/LG SORAP concurrence or non-concurrence and DMI Study results will be presented to the ASP (2) The SMC ASP approves final Depot SOR, and ASP Chairman signs SORAP Package (3) Approval from SMC/CC is required to proceed past KDP C without SORAP and JDMAG DMI Study results